

COPY OF PAPERS
ORIGINALLY FILED



#3

Applicant(s): **Christina Chow, et al.** Atty. Docket No.: **40655.3800**
Serial No.: **10/032,588** Confirmation No.: **8373** Group Art Unit: **2164**
Filed: **December 20, 2001** Examiner: **TBA**
TITLE: **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD**

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD** the specification of which:

☐ is attached hereto.

☒ was filed on **December 20, 2001**, as Application Serial No. **10/032,588** and was amended on _____ if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed

☐

Number	Country	Filing Date
Number	Country	Filing Date

☐

Full name of first inventor Paul Stoxen
First inventor's signature *Paul Stox* Date 12/11/01
Residence 1327 East Monte Cristo Avenue
City/State Phoenix, Arizona Zip Code 85022
Citizenship USA
Post Office Address Same as above

Full name of first inventor Marcus Sheire
First inventor's signature _____ Date _____
Residence 1540 Osceola Avenue
City/State St. Paul, Minnesota Zip Code 55105
Citizenship USA
Post Office Address Same as above

Full name of first inventor Timothy G. Austin
First inventor's signature _____ Date _____
Residence 8242 Xene Lane
City/State Maple Grove, Minnesota Zip Code 55311
Citizenship USA
Post Office Address Same as above



IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

Applicant(s): Christina Chow, et al.

Atty. Docket No.: 40655.3800

Serial No.: 10/032,588 Confirmation No.: 8373

Group Art Unit: 2164

Filed: December 20, 2001

Examiner: TBA

TITLE: **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND
METHOD**

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD** the specification of which:

☐ is attached hereto.

☒ was filed on **December 20, 2001**, as Application Serial No. 10/032,588 and was amended on _____ if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed

☐

Number	Country	Filing Date
--------	---------	-------------

☐

Number	Country	Filing Date
--------	---------	-------------

Applicant(s): Christina Chow, et al.

Atty. Docket No.: 40655.3800

Serial No.: 10/032,588 Confirmation No.: 8373

Group Art Unit: 2164

Filed: December 20, 2001

Examiner: TBA

TITLE: REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD

**POWER OF ATTORNEY BY ASSIGNEE
AND CERTIFICATE UNDER 37 CFR 3.73(b)**

AMERICAN EXPRESS TRAVEL RELATED SERVICES COMPANY, INC. ("Assignee"), a corporation having a place of business at American Express Tower, World Financial Center, New York, New York 10285-4900 certifies that to the best of Assignee's knowledge and belief, it is the assignee of the entire right, title, and interest in and to the above-captioned United States patent application and represents that the undersigned is a representative authorized and empowered to sign on behalf of the Assignee.

Ownership of the above-identified patent application is established by virtue of the following documentary evidence that has been reviewed by the undersigned:

An assignment from the inventor(s) of the patent application identified above. The assignment for which a copy thereof is attached.

AMERICAN EXPRESS TRAVEL RELATED SERVICES COMPANY, INC., the Assignee of the entire right, title, and interest in and to the above-captioned United States patent application and all inventions disclosed and claimed therein, hereby appoints as its attorneys to prosecute the above-captioned United States patent application and to transact all business in the United States Patent and Trademark Office connected therewith and with the resulting patent, individually and collectively:

SNELL & WILMER L.L.P.

One Arizona Center

400 East Van Buren

Phoenix, Arizona 85004-2202

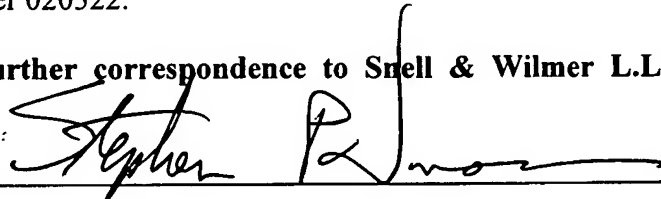
Tel. (602) 382-6000

Fax (602) 382-6070;

Thomas J. Finn (Reg. No. 48,066); and the other registered attorneys associated with Snell & Wilmer's Customer Number 020322.

Please send all further correspondence to Snell & Wilmer L.L.P. at the above address.

By:



Title: Stephen P. Norman, Secretary

Date:

MARCH 26, 2002



IN THE UNITED STATES PATENT AND
TRADEMARK OFFICE

COPY OF PAPERS
ORIGINALLY FILED

Applicant(s): Christina Chow, et al.

Atty. Docket No.: 40655.3800

Serial No.: 10/032,588 Confirmation No.: 8373

Group Art Unit: 2164

Filed: December 20, 2001

Examiner: TBA

TITLE: REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND
METHOD

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **REAL-TIME BROKERAGE ACCOUNT APPLICATION SYSTEM AND METHOD** the specification of which:

☐ is attached hereto.

☒ was filed on December 20, 2001, as Application Serial No. 10/032,588 and was amended on _____ if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in 37 C.F.R. §1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed.

Priority Not Claimed

☐

Number	Country	Filing Date
Number	Country	Filing Date

☐

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

60/268,658
Application Number

February 14, 2001
Filing Date

60/268,538
Application Number

February 13, 2001
Filing Date

Application Number

Filing Date

Application Number

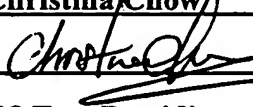
Filing Date

**COPY OF PAPERS
ORIGINALLY FILED**

I hereby claim the benefit under 35 U.S.C. §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 U.S.C. §112, I acknowledge the duty to disclose information material to patentability as defined in 37 C.F.R. §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

<u>Application Serial No.</u>	<u>Filing Date</u>	<u>Status — Patent, Pending, Abandoned</u>
<u>Application Serial No.</u>	<u>Filing date</u>	<u>Status — Patent, Pending, Abandoned</u>

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor Christina Chow
First inventor's signature  Date 12/11/2001
Residence 1238 East Presidio
City/State Phoenix, Arizona Zip Code 85022
Citizenship USA
Post Office Address Same as above

Full name of first inventor Paul Stoxen
First inventor's signature *Paul Stox* Date 12/11/01
Residence 1327 East Monte Cristo Avenue
City/State Phoenix, Arizona Zip Code 85022
Citizenship USA
Post Office Address Same as above

Full name of first inventor Marcus Sheire
First inventor's signature _____ Date _____
Residence 1540 Osceola Avenue
City/State St. Paul, Minnesota Zip Code 55105
Citizenship USA
Post Office Address Same as above

Full name of first inventor Timothy G. Austin
First inventor's signature _____ Date _____
Residence 8242 Xene Lane
City/State Maple Grove, Minnesota Zip Code 55311
Citizenship USA
Post Office Address Same as above



Full name of first inventor Paul Stoxen COPY OF PAPERS
ORIGINALLY FILED
First inventor's signature _____ Date _____
Residence 1327 East Monte Cristo Avenue
City/State Phoenix, Arizona Zip Code 85022
Citizenship USA
Post Office Address Same as above

Full name of first inventor Marcus Sheire
First inventor's signature *M Sheire* Date 1/2/02
Residence 1540 Osceola Avenue
City/State St. Paul, Minnesota Zip Code 55105
Citizenship USA
Post Office Address Same as above

Full name of first inventor Timothy G. Austin
First inventor's signature *Tim Austin* Date 12-18-01
Residence 8242 Xene Lane
City/State Maple Grove, Minnesota Zip Code 55311
Citizenship USA
Post Office Address Same as above